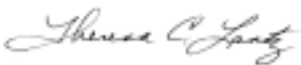
 <p>State of Connecticut Department of Correction</p> <p>ADMINISTRATIVE DIRECTIVE</p>	<p>Directive Number 4.7</p>	<p>Effective Date 7/1/2006</p>	<p>Page 1 of 3</p>
<p>Approved By</p> 	<p>Supersedes</p> <p>New Directive</p> <p>Title</p> <p>Records Retention</p>		

1. Policy. The Department of Correction shall retain public records for specified periods of time as designated by statute and state regulation.
2. Authority and Reference.
 - A. Connecticut General Statutes, Sections 1-7 through 1-18, 1-200(5), 1-218, 11-8, 11-8a, 11-8b, 18-81, 53-153, 54-142a, 54-142d, 54-142g through 54-142i.
 - B. Records Management Manual, Connecticut State Library, 1999.
 - C. American Correctional Association, Administration of Correctional Agencies, Second Edition, April 1993, Standard 2-CO-1E-01.
 - D. American Correctional Association, Standards for Adult Correctional Institutions, Fourth Edition, January 2003, Standard 4-4095.
 - E. American Correctional Association, Standards for Adult Probation and Parole Field Services, Third Edition, August 1998, Standard 3-3101.
3. Definitions. For the purposes stated herein, the following definitions apply:
 - A. Non-Record. Extra copies kept for convenience, informational copies of correspondence, duplicate copies of documents maintained in the same file, working papers and preliminary drafts.
 - B. Public Records. Department generated books, files, papers, audio/video recordings, and/or other documents which have been recognized by the State Librarian as having administrative, fiscal, or legal value.
 - C. Public Records Administrator. A State employee, appointed by the State Librarian, responsible for the management and retention of official State records.
 - D. Record. Any recorded data or information relating to the conduct of the public's business prepared, owned, used, received, or retained by a public agency, or to which a public agency is entitled to receive a copy by law or contract under Section 1-218 of the Connecticut General Statutes, whether such data or information be handwritten, typed, tape-recorded, printed, photostatted, photographed, or recorded by any other method.
 - E. State Archivist. An appointed State employee responsible for the management of the State archive.
 - F. State Librarian. An appointed State employee responsible for the development and direction of the records management program.
4. Management. The Department shall follow the guidelines set forth by the State Librarian regarding the maintenance and retention of public records. These guidelines shall include, but are not be limited to:
 - A. Approval of security storage facilities for the safe storage of original public records or security copies thereof;
 - B. Identification of public records;

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- C. Preservation of public records;
 - D. Retention timeframes of public records; and,
 - E. Destruction of public records.
5. Records Management Liaison Officer (RMLO). The Commissioner shall designate an employee to serve as the Department's RMLO with the State Librarian and designee(s). The liaison shall:
- A. Establish guidelines for maintaining and using records in the conduct of Department business;
 - B. Inventory the Department public records;
 - C. Review retention schedule for each public record;
 - D. Maintain an updated records retention schedule for the Department; and,
 - E. Submit a copy of any Department issued form, not already on the records retention schedule, to the State Librarian for review and possible placement on the retention schedule.
6. Maintenance and Retention. Each Division/Unit Administrator shall designate a liaison to work with the Department RMLO, who shall provide for the secure maintenance, retention and/or transfer of all public records, in accordance with Attachment A, RC-50, Records Retention Schedule.
7. Storage. Each Division/Unit Administrator shall provide for secure local storage of public records, as appropriate, in accordance with Attachment A, RC-50, Records Retention Schedule. Any record storage required outside of the Department shall be provided for by the State Librarian.
- A. Records shall be stored in Fellows Bankers Boxes in compliance with the requirements established by the Public Records Administrator.
 - B. All boxes shall have CN 4701, Storage Box Identification Label attached to the outside to identify the origin and contents of the box. CN 4701, Storage Box Identification Label shall indicate the facility and unit name, time period covered, description of the contents, schedule number and the box number (e.g., CRCC-2005-001, (CRCC - facility initials), (2005 - calendar year), and (001 - box number beginning with 001)).
 - C. An inventory of the boxes shall be kept by the facility utilizing CN 4702, Records Disposal Inventory Form.
- Each record storage unit shall be secured when not in use and access shall be restricted. Each Unit Administrator shall designate a senior staff member(s) to act as the key custodian for the record storage unit. The record storage unit shall have a logbook to document access by name, date, time, documents removed, and when returned.
8. Disposal Schedule. The Records Management Liaison Officer shall develop and disseminate a record disposal schedule. The record disposal schedule shall indicate each facility's deadline for paperwork submission and the month of disposal. All requests for record disposal shall be submitted and approved two months prior to the disposal date.

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9. Disposal. Prior to disposal of a Department record(s), the Unit Administrator shall submit the record(s) and a completed Attachment B, RC-108, Records Disposal Authorization form to the Fiscal Standards Division for review. In addition to Attachment B, RC-108, Records Disposal Authorization, the requesting unit shall also include an authorized Purchase Requisition Form. After the Attachment B, RC-108, Records Disposal Authorization form has been reviewed, the Fiscal Standards Division shall submit the Attachment B, RC-108, Records Disposal Authorization form to the State Librarian for review. When the State Librarian, Public Records Administrator, and State Archivist determine that certain public records are of no administrative, fiscal, or legal value, the State Librarian shall approve and direct the Department in the disposal of the record(s). Upon receipt of the authorized Attachment B, RC-108, Records Disposal Authorization form, the Fiscal Standards Division shall provide a copy of the approved Attachment B, RC-108, Records Disposal Authorization form and the accompanying purchase requisition to the Fiscal Services Unit, Purchasing Section for processing. Record disposal shall be by State-approved vendor. No Department employee shall turn over for disposal any record listed in Attachment A, RC-50, Records Retention Schedule, without the approval of the State Librarian. Upon completion of the destruction of said record(s), the Unit Administrator shall provide a copy of the vendor's destruction voucher to both the Fiscal Services Unit, Accounts Payables and Fiscal Standards Divisions.
10. Forms and Attachments. The following forms and attachments are applicable to this Administrative Directive and shall be utilized for their intended function:
 - A. CN 4701, Storage Box Identification Label;
 - B. CN 4702, Records Disposal Inventory Form;
 - C. Attachment A, RC-50, Records Retention Schedule; and,
 - D. Attachment B, RC-108, Records Disposal Authorization form.
11. Transition. Each unit shall be in compliance with this Directive within 120 days of the effective date.
12. Exceptions. Any exceptions to the procedures in this Administrative Directive shall require the prior written approval of the Commissioner.